
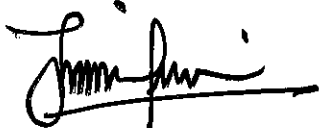

 <h1>UTS</h1>	<h2>VIVA-VOCE EXAMINATION</h2>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	1 / 17

Prepared by:    Name : Mdm Richelle Liik Hun  Position : Senior Executive, School of Postgraduate Studies	Approved by:    Name : Assoc. Prof. Dr. Mohd Zainal Munshid Bin Harun  Position : Dean, School of Postgraduate Studies
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### AMENDMENT RECORDS

No.	Date	Remarks	Revision No.	Approved by
1	04/01/16	Establishment	00	Dean, SPS
2	07/12/22	Change from UCTS to UTS	01	Dean, SPS
3	20/06/24	Review overall; Combine SOP P09, P10 & P11	02	Dean, SPS
4	08/10/24	To add the duration for 7.2.1 Submission of Thesis for Viva-voce Examination (Item 1.2)	03	Dean, SPS

 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>2 / 17</b>

## 1.0 OBJECTIVE

- 1.1 To outline the process of viva-voce examination for PG students.

## 2.0 SCOPE


- 2.1 This SOP covers the entire process of viva-voce examination for postgraduate by research programme.

## 3.0 REFERENCES

- 3.1 Postgraduate Academic Rules & Regulations

## 4.0 DEFINITIONS / ABBREVIATIONS

SOP	:	Standard Operating Procedure
UTS	:	University of Technology Sarawak
SPS	:	School of Postgraduate Studies
PG	:	Postgraduate
MS	:	Main Supervisor
IE	:	Internal Examiner
EE	:	External Examiner
SAC	:	School Academic Committee
PSC	:	Postgraduate Studies Committee
UPC	:	University Postgraduate Committee
PC	:	Programme Coordinator
SA	:	School Admin
TER	:	Thesis Examiner Report
VER	:	Viva-Voce Examination


 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>3 / 17</b>

## 5.0 RESPONSIBILITY

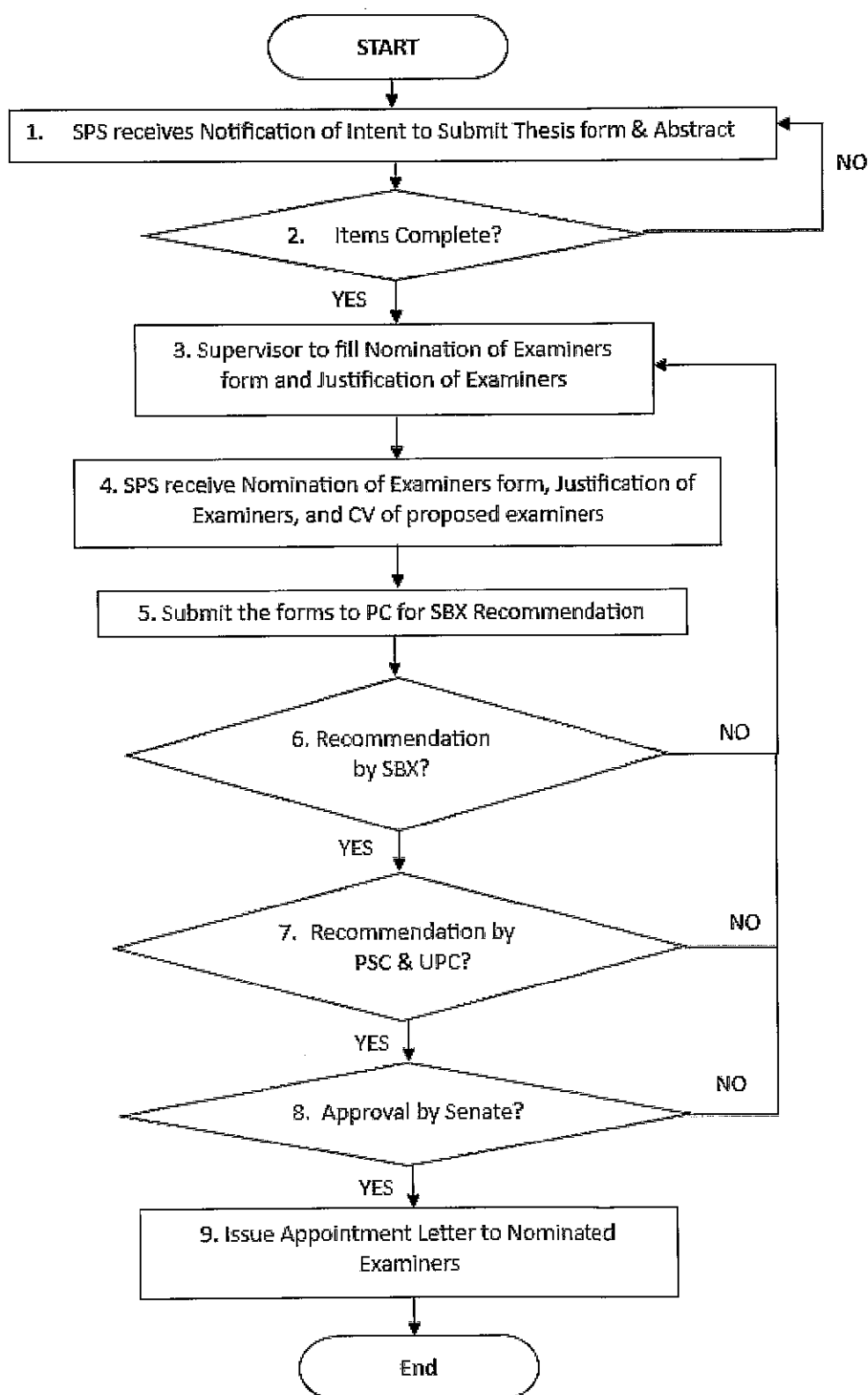
- 5.1 The Dean of SPS has the authority to approve the establishment and amendment SOP.
- 5.2 Deans and PC are responsible to follow and adhere to this SOP.
- 5.3 The Dean of SPS is responsible to ensure that this SOP is adhered to.


## 6.0 PROCEDURE

Refer to process flow chart.

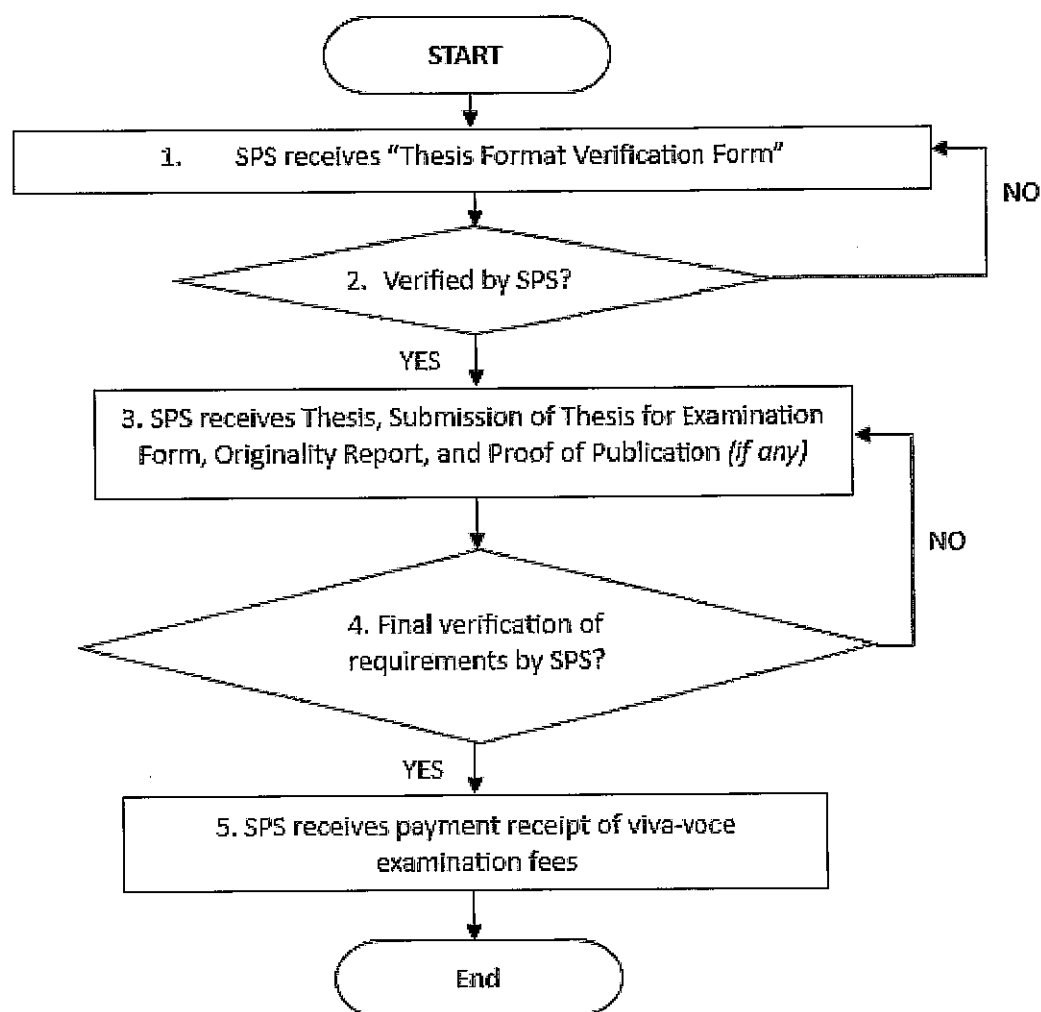
 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	4 / 17


## 6.1 SUBMISSION OF NOTICE OF INTENT TO SUBMIT THESIS/DISSERTATION & NOMINATION OF EXAMINERS



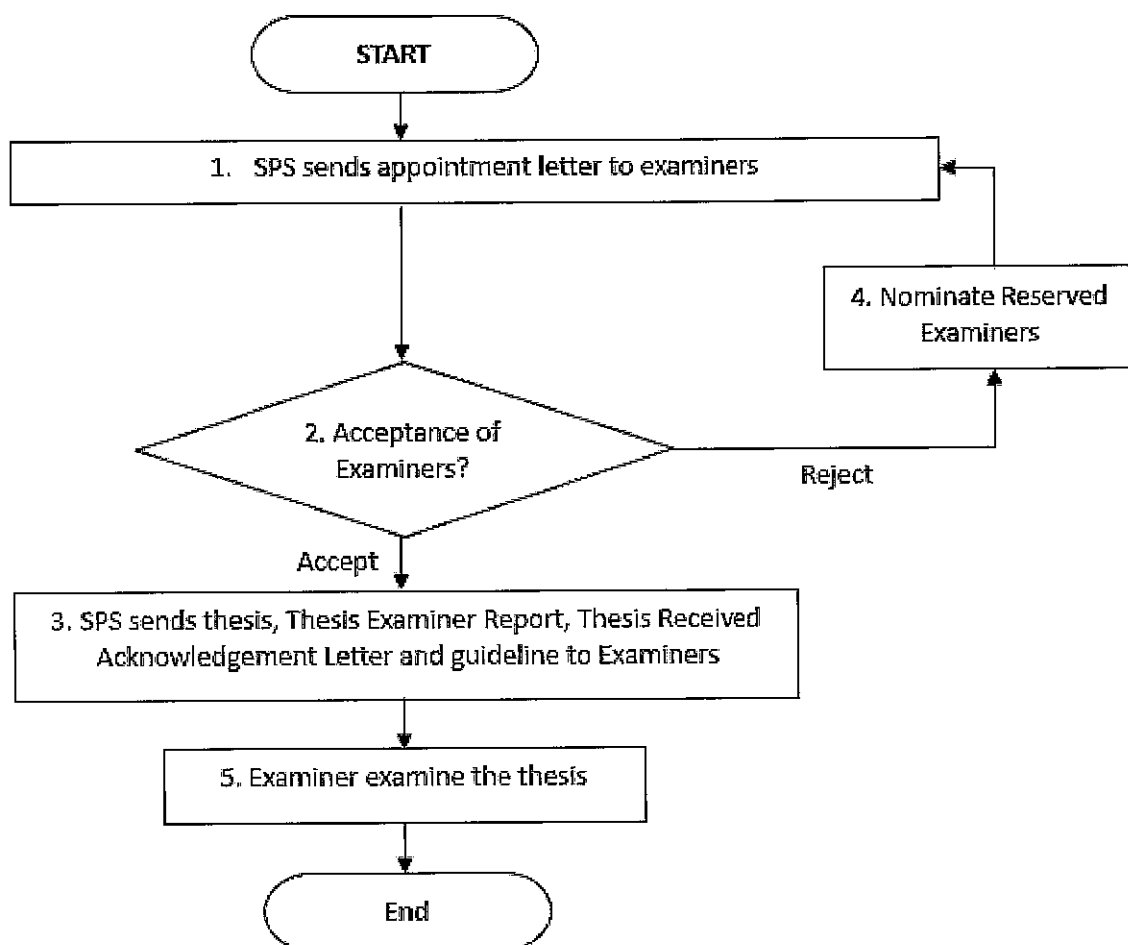
 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	5 / 17

## 6.2 SUBMISSION OF THESIS FOR VIVA-VOCE EXAMINATION



 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>		<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
			<b>Revision No:</b>	<b>03</b>
			<b>Date:</b>	<b>08/10/24</b>
			<b>Page No:</b>	<b>6 / 17</b>

### 6.3 APPOINTMENT OF INTERNAL & EXTERNAL EXAMINERS FOR VIVA-VOCE EXAMINATION



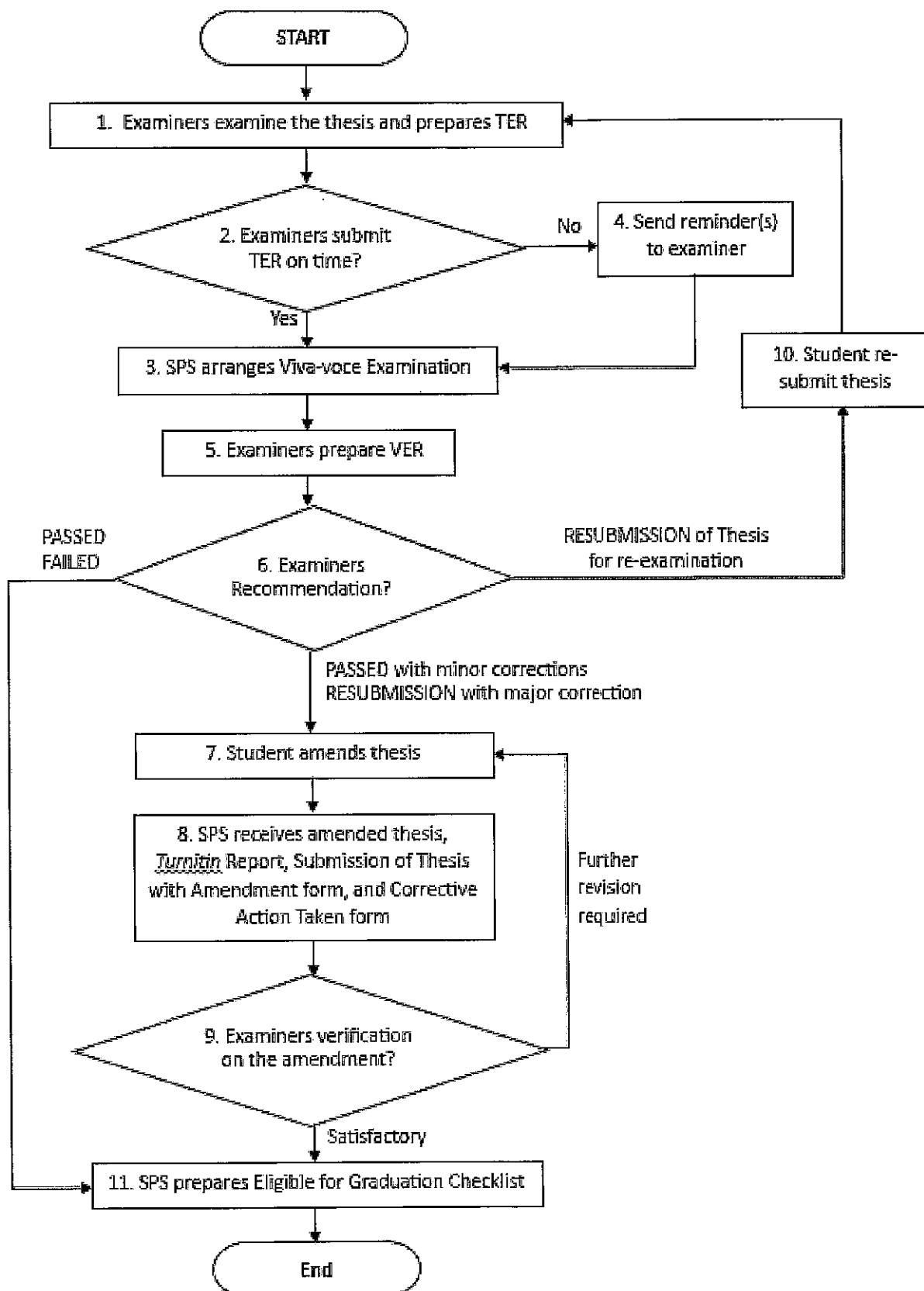



# UTS

## VIVA-VOCE EXAMINATION

Doc. No:	UTS/SPS/P08
Revision No:	03
Date:	08/10/24
Page No:	7 / 17

### 6.4 THESIS EXAMINATION AND VIVA-VOCE EXAMINATION




 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>8 / 17</b>

## 7.0 DESCRIPTION


### 7.1 SUBMISSION OF NOTICE OF INTENT TO SUBMIT THESIS/DISSERTATION & NOMINATION OF EXAMINERS

No	Description	Person in Charge	Document
1	<p>SPS receives Notification of Intent to Submit Thesis Form and Abstract.</p> <p>1.1. Notice of Intent to Submit Thesis Form must be submitted 3 months before student submit the final thesis.</p> <p>1.2. If student does not submit thesis / dissertation within three (3) months after Notification of Intent, SPS to send reminders to student as follows:</p> <ul style="list-style-type: none"> <li>End of 3<sup>rd</sup> month → send 1<sup>st</sup> reminder to student to submit within 2 weeks;</li> <li>If still no respond or submission at the end of 2<sup>nd</sup> week after 1<sup>st</sup> reminder → send final reminder to student to submit within 1 week;</li> <li>At the end of 3<sup>rd</sup> week from the date of 1<sup>st</sup> reminder → send notification to the student to re-submit the Notice of Intent to Submit Thesis/Dissertation.</li> </ul>	SPS SA Student	<p>1. Notification of Intent to Submit Thesis Form (UTS-SPS-P08-IST)</p> <p>2. Abstract</p>
2	<p>Items complete?</p> <p>2.1. Upon receipt of Notice of Intent from student, SPS verifies that the student fulfilled all requirements as follows:</p> <ul style="list-style-type: none"> <li>Completed and passed all compulsory module(s);</li> <li>Obtained "Satisfactory" grade for Proposal Defence;</li> <li>Submitted all 6-monthly progress report;</li> <li>Must be currently registered (not withdrawn, defaulted, deferred or terminated)</li> </ul> <p>2.2. If complete and fulfill requirements, go to 3.</p>	SPS SA	<p>1. Notification of Intent to Submit Thesis Form (UTS-SPS-P08-IST)</p> <p>2. Abstract</p>



 <h1>UTS</h1>	<h2>VIVA-VOCE EXAMINATION</h2>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	9 / 17


	2.3. If any information is missing or not fulfill requirements, SPS SA to request information is missing.		
3	<p>Supervisor to fill nomination of examiners form and justification of examiners.</p> <p>3.1. SPS informs MS to fill Nomination of Examiners form and Justification of Examiners.</p> <p>3.2. SPS SA to send reminder to MS on the required nomination every 4 weeks.</p> <p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. Master: MS needs to proposed 2 IE (one reserved) and 2 EE (one reserved);</li> <li>2. PhD: MS needs to proposed 2 IE (one reserved) and 3 EE (one reserved).</li> </ol>	SPS SA	<ol style="list-style-type: none"> <li>1. Nomination of External and Internal Examiners for Thesis/Dissertation &amp; Approval of Final Thesis Title (UTS-SPS-P08-NE)</li> <li>2. Justification of Examiners (UTS-SPS-P08-EJ)</li> </ol>
4	<p>SPS receives Nomination of Examiners form, Justification of Examiners, and CV of proposed examiners.</p> <p>4.1. SPS receives Nomination of Examiners form, Justification of Examiners, and CV of proposed examiners from MS.</p>	SPS SA	<ol style="list-style-type: none"> <li>1. Nomination of External and Internal Examiners for Thesis/Dissertation &amp; Approval of Final Thesis Title (UTS-SPS-P08-NE)</li> <li>2. Justification of Examiners (UTS-SPS-P08-EJ)</li> <li>3. Examiners' CV</li> </ol>
5	<p>Submit the forms to PC for SBX recommendation.</p> <p>5.1. SPS to compile the documents and send to PC for SBX recommendation.</p>	SPS SA	<ol style="list-style-type: none"> <li>1. Nomination of External and Internal Examiners for Thesis/Dissertation &amp; Approval of Final Thesis Title (UTS-SPS-P08-NE)</li> <li>2. Justification of Examiners (UTS-SPS-P08-EJ)</li> <li>3. Examiners' CV</li> </ol>
6	<p>Recommendation by SBX?</p> <p>6.1. PC send the Nomination of Examiners form, Justification of Examiners, and CV of proposed examiners for SBX recommendation.</p> <p>(i) If recommended, go to 7;</p> <p>(ii) If not recommended, go to 3.</p>	SPS SA PC	<ol style="list-style-type: none"> <li>1. Abstract</li> <li>2. Nomination of External and Internal Examiners for Thesis/Dissertation &amp; Approval of Final Thesis Title (UTS-SPS-P08-NE)</li> <li>3. Justification of Examiners (UTS-SPS-P08-EJ)</li> <li>4. Examiners' CV</li> <li>5. Proposed Viva-voce Examiners for SBX Recommendation Form</li> </ol>

 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>10 / 17</b>


	6.2. SBX to fill Proposed Viva-voce Examiners for SBX Recommendation form.  6.3. SBX to appoint Chairman of the Viva-voce examination.		(UTS-SPS-P08-VERF)
7	Recommendation by PSC & UPC?  7.1. SPS sends the recommendation from SBX for PSC and UPC recommendation:  (i) If recommended, go to 8;  (ii) If not recommended, go to 3.	SPS PSC UPC	1. Abstract 2. Justification of Examiners (UTS-SPS-P08-EJ) 3. Examiners' CV 4. Proposed Viva-voce Examiners for SBX Recommendation Form (UTS-SPS-P08-VERF)
8	Approval by Senate?  8.1. SPS sends the recommendation from UPC for Senate approval:  (i) If recommended, go to 9;  (ii) If not recommended, go to 3.	SPS	1. Abstract 2. Justification of Examiners (UTS-SPS-P08-EJ) 3. Examiners' CV 4. Proposed Viva-voce Examiners for SBX Recommendation Form (UTS-SPS-P08-VERF)
9	Issue Appointment Letter to Nominated Examiners.  9.1. SPS issue appointment letter to nominated examiners. Refer to 7.3.	SPS SA	Appointment Letter of examiners

## 7.2. SUBMISSION OF THESIS FOR VIVA-VOCE EXAMINATION

No	Description	Person in Charge	Document
1	SPS receives "Thesis Format Verification Form"  1.1. SPS receives "Thesis Format Verification Form" from student for thesis format checking.  1.2. SPS to respond to the student thesis format verification email within one week.	SPS SA	1. Thesis 2. Thesis Format Verification Form (UTS-SPS-P08-TFV) 3. Thesis/Dissertation/Project Report Preparation Guidelines (UTS-SPS-P08-TG)
2	Verified by SPS?  2.1. Upon checking and verify by SPS:  (i) If the thesis format follow the guideline, go to 3.	SPS SA AS	1. Thesis 2. Thesis Format Verification Form (UTS-SPS-P08-TFV)


 <h1>UTS</h1>	<h2>VIVA-VOCE EXAMINATION</h2>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	11 / 17

	(ii) If the thesis format did not follow the thesis guideline, SPS to inform student to amend the thesis format according to the Thesis Guideline.		3. Thesis/Dissertation/Project Report Preparation Guidelines (UTS-SPS-P08-TG)
3	<p>SPS receives Thesis, Submission of Thesis for Examination Form, Originality Report, and Proof of Publication <i>(if any)</i>.</p> <p>3.1. SPS receives final thesis (in PDF file), full Turnitin Report (in PDF file), Submission of Thesis for Examination form, and Originality Report form.</p> <p>3.2. Student can submit Proof of Publication before/while/after the viva-voce examination. However, the student needs to submit it before Senate approval on complete study.</p>	SPS SA	<ol style="list-style-type: none"> <li>1. Final Thesis (in PDF)</li> <li>2. Full <i>Turnitin</i> Report (in PDF)</li> <li>3. Submission of Thesis for Examination Form (UTS-SPS-P08-TS)</li> <li>4. Originality Report Form (UTS-SPS-P08-OR)</li> <li>5. Thesis Format Verification Form (UTS-SPS-P08-TFV)</li> <li>6. Proof of Publication <i>(if any)</i> (UTS-SPS-P08-PP)</li> </ol>
4	<p>Final verification of requirements by SPS?</p> <p>4.1. SPS to confirm the student submit the complete set of Thesis Submission Form in order to proceed for viva-voce examination.</p> <p>(i) If student submitted all the forms required by 3, proceed to 5;</p> <p>(ii) If got missing document, proceed to 3.</p>	SPS SA	<ol style="list-style-type: none"> <li>1. Final Thesis (in PDF)</li> <li>2. Full <i>Turnitin</i> Report (in PDF)</li> <li>3. Submission of Thesis for Examination Form (UTS-SPS-P08-TS)</li> <li>4. Originality Report Form (UTS-SPS-P08-OR)</li> <li>5. Thesis Format Verification Form (UTS-SPS-P08-TFV)</li> <li>6. Proof of Publication <i>(if any)</i> (UTS-SPS-P08-PP)</li> </ol>
5	<p>SPS receives payment receipt of viva-voce examination fees</p> <p>5.1. Student to make viva-voce fees payment and submit the receipt to SPS.</p>	SPS SA Student	Payment Receipt

 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>12 / 17</b>

### 7.3. APPOINTMENT OF INTERNAL AND EXTERNAL EXAMINERS FOR VIVA-VOCE EXAMINATION


No	Description	Person in Charge	Document
1	SPS sends appointment letter to examiners.  1.1. SPS issues appointment letter to IE & EE.	SPS SA	1. IE & EE Appointment Letter 2. Acceptance Letter 3. Guideline for IE/EE (for Marking of Thesis/Dissertation) (UTS-SPS-P08-GIE / UTS-SPS-P08-GEE)
2	Acceptance of Examiners?  3.1. IE & EE accept the appointment:  (i) If accept, go to 3;  (ii) If reject, go to 4.	SPS SA IE & EE	Acceptance Letter
3	SPS sends thesis, Thesis Examiner Report, Thesis Received Acknowledgement Letter, and guideline to examiners.  3.3. SPS sends thesis, Thesis Examiner Report form, Thesis Received Acknowledgement Letter, and guideline for preparation of examiner's report to IE and EE.	SPS SA	1. Thesis; 2. Thesis Examiner Report form (UTS-SPS-P08-TER); 3. Thesis Received Acknowledgement Letter; and 4. Guidelines for preparation of examiner's report (UTS-SPS-P08-GTER)
4	Nominate Reserved Examiners.  4.1. If examiner(s) do not acknowledge acceptance of appointment within 1 week after 1 <sup>st</sup> date of appointment letter, SPS to send reminder as follows:  <ul style="list-style-type: none"> <li>• Send 1<sup>st</sup> reminder at the end of 1 week from the date of sending out the letter appointment as examiner;</li> <li>• Send 2<sup>nd</sup> reminder after 1 week from the 1<sup>st</sup> reminder;</li> <li>• Send 3<sup>rd</sup> reminder at the end of 1 week after sending 2<sup>nd</sup> reminder;</li> <li>• If still no respond at the end of 1 month from the date of 1<sup>st</sup> reminder, re-nominate reserved internal or/and external examiner(s).</li> </ul>	SPS SA	1. IE or EE Appointment Letter 2. Acceptance Letter 3. Guideline for IE/EE (for Marking of Thesis/Dissertation) (UTS-SPS-P08-GIE / UTS-SPS-P08-GEE)

 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>13 / 17</b>


	4.2. If the first appointed examiner reject the appointment, SPS needs to nominate the reserved examiner which approved by Senate.		
5	Examiners examine the thesis.  5.1. External Examiner(s) are given one (1) month to read and examine the thesis and respond to School of Postgraduate Studies on the result of examination.	IE & EE	1. Thesis 2. Thesis Examiner Report (UTS-SPS-P08-TER)

#### 7.4. THESIS EXAMINATION AND VIVA-VOCE EXAMINATION


No	Description	Person in Charge	Document
1	Examiners examine the thesis and prepares TER.  1.1. Internal and External Examiner(s) are required to return the marked/examined thesis and Thesis Examiner's Report under confidential cover within one (1) month form the date of receiving the thesis for examination.	<u><b>IE &amp; EE</b></u>	1. Thesis 2. Thesis Examiner Report (UTS-SPS-P08-TER) 3. Guidelines for Preparation of Thesis Examiner Report (UTS-SPS-P08-GTER)
2	Examiners submit TER on time?  3.1. Examiners submit TER within one month?  (i) If yes, proceed to 3;  (ii) If no, proceed to 4.	IE & EE	Thesis Examiner Report (UTS-SPS-P08-TER)
3	SPS arranges viva-voce examination once all necessary reports and documents are in.  3.1. Confirm date and time for the viva-voce examination with viva chairman and examiners;  3.2. Prepare proceedings to chairman and examiners;  3.3. Inform candidate to prepare and be present for viva;  3.4. Prepare all the reports and necessary documents from examiners to chairman.		1. Thesis Examiner Report (UTS-SPS-P08-TER) 2. Proceedings 3. Guidelines of Viva-voce Examination (UTS-SPS-P08-GVE) 4. Tips on How to Conduct Viva Voce (for Chairperson of Viva Voce) (UTS-SPS-P08-CVE) 5. Email 6. Chairman Report

 <h1>UTS</h1>	<h2>VIVA-VOCE EXAMINATION</h2>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	14 / 17

<p>3.5. During the viva-voce examination:</p> <p>Examiners review the examiner's reports and the recommendations of examiners (without the presence of candidate).</p> <p><u>Note</u></p> <ul style="list-style-type: none"> <li>(i) <i>Quorum for TEB &amp; viva-voce is simple majority of voting members;</i></li> <li>(ii) <i>In the event that the Internal Examiner had resigned, the School is to appoint a new Internal Examiner preferably a person in related area to act;</i></li> <li>(iii) <i>In the event that more than one examiners are external, the School is to appoint one (1) School Representative who is from the related area and together with Programme Coordinator, to act on behalf of the external examiners who cannot present.</i></li> </ul> <p>Chairman shall introduce the examiner members and brief the candidate on the Viva-voce</p> <p><u>Viva-voce</u></p> <p>Candidate will be invited to make at least 20 minutes (Master) and 30 minutes (PhD) of oral presentation which shall include:</p> <ul style="list-style-type: none"> <li>(a) Research background which includes the critical literature review and research questions/problem statement</li> <li>(b) Research objectives</li> <li>(c) Research methodology / Analysis &amp; design</li> <li>(d) Implementation/Results &amp; discussion</li> <li>(e) Conclusion &amp; future work which includes the significant contribution of the research</li> </ul> <p><u>Q&amp;A session on defence of thesis / dissertation</u></p> <p>Supervisors are not allowed to answer on behalf of the candidate unless requested by examiners.</p> <p>Only examiners shall make the decision.</p>		
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 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	Doc. No:	UTS/SPS/P08
		Revision No:	03
		Date:	08/10/24
		Page No:	15 / 17

4	<p>Send reminder(s) to examiner.</p> <p>6.1. If examiner(s) does not submit thesis examiner report within one (1) month from the date of receiving the thesis, SPS to send reminders to examiner as follows:</p> <ul style="list-style-type: none"> <li>• Send 1<sup>st</sup> reminder to examiner to submit within 1 week;</li> <li>• If still no respond or submission at the end of 2<sup>nd</sup> week after 1<sup>st</sup> reminder → send final reminder to examiner to submit within 1 week;</li> <li>• At the end of 3<sup>rd</sup> week from the date of 1<sup>st</sup> reminder → SPS needs to re-nominate reserved examiner to evaluate the student's thesis.</li> </ul>	SPS SA	Email
5	<p>Examiners prepare VER.</p> <p>5.1. Examiners fill the VER during the viva-voce presentation and submit to SPS after the viva-voce session.</p>	IE & EE	Viva Voce Examination (UTS-SPS-P08-VER)
6	<p>Examiners Recommendation?</p> <p>6.1. Internal and External Examiner to make final result after the viva-voce examination.</p> <p><i>Note: Only examiners shall make the decision.</i></p> <p><u>Viva voce Assessment</u></p> <p>6.2. If examiners decide on the following recommendation:</p> <ul style="list-style-type: none"> <li>(i) Passed, go to 11;</li> <li>(ii) Passed with minor correction, go to 7;</li> <li>(iii) Conditional passed with major correction. Candidate may be required to attend the 2<sup>nd</sup> viva voce to clarify revisions made to the dissertation, go to 7;</li> <li>(iv) Resubmission of thesis for re-examination, go to 10;</li> </ul>	IE & EE	Thesis Examiner Report (UTS-SPS-P08-TER)

 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>16 / 17</b>

	(v) Failed, go to 11.		
7	<p>Student amends thesis.</p> <p>7.1. Student make amendments to thesis/dissertation in consultation with Supervisor / Co-Supervisor.</p> <p>7.2. Student needs to be completed the correction within the period decided by the IE &amp; EE.</p> <p>7.3. SPS to remind student to submit the thesis correction if the student didn't submit the correction on time.</p>	SPS SA	<ol style="list-style-type: none"> <li>1. Amended thesis</li> <li>2. <i>Turnitin</i> Report</li> <li>3. Submission of Thesis with Amendments (UTS-SPS-P08-TSA)</li> <li>4. Confirmation of Corrective Action Taken (Thesis) (UTS-SPS-P08-CAT)</li> </ol>
8	<p>SPS receives amended thesis, <i>Turnitin</i> Report, Submission of Thesis with Amendment form, and Corrective Action Taken form.</p> <p>8.1. SPS forward the forms and amended thesis to IE &amp; EE (if necessary/required) for verification of corrective actions.</p>	SPS SA IE; EE (if required)	<ol style="list-style-type: none"> <li>1. Amended thesis</li> <li>2. <i>Turnitin</i> Report</li> <li>3. Submission of Thesis with Amendments (UTS-SPS-P08-TSA)</li> <li>4. Confirmation of Corrective Action Taken (Thesis) (UTS-SPS-P08-CAT)</li> </ol>
9	<p>Examiners verification on the amendment?</p> <p>9.1. Internal examiner and External examiner (if necessary/required) to confirm corrective actions had been taken:</p> <p>(i) If required further revision, go to 7;</p> <p>(ii) If required no further revision and confirmation of corrective actions, go to 11</p>	IE; EE (if required)	Submission of Thesis with Amendments (UTS-SPS-P08-TSA)
10	<p>Student re-submit thesis.</p> <p>10.1. After further work, student re-submits thesis/dissertation for re-examination.</p> <p>10.2. SPS receives the amended thesis, go to 1.</p>	SPS SA	<ol style="list-style-type: none"> <li>1. Amended thesis</li> <li>2. <i>Turnitin</i> Report</li> <li>3. <i>Originality Report form</i> (UTS-SPS-P08-OR)</li> </ol>
11	<p>SPS prepares Eligible for Graduation Checklist.</p> <p>11.1. SPS prepares and generates the "Eligible for Graduation Checklist" for Senate meeting</p>	SPS SA PC Dean of SPS	Eligible for Graduation Checklist (UTS-SPS-P08-EGC)



 <b>UTS</b>	<b>VIVA-VOCE EXAMINATION</b>	<b>Doc. No:</b>	<b>UTS/SPS/P08</b>
		<b>Revision No:</b>	<b>03</b>
		<b>Date:</b>	<b>08/10/24</b>
		<b>Page No:</b>	<b>17 / 17</b>

## 8.0 RECORDS

No	Title / Records	Location / Responsibility	Retention Period
1.	Student Viva-Voce Examination File	Postgraduate Filing Room	Min 8 years (Master's Degree) Min 10 years (PhD)
2.	Student Final Thesis (in PDF)	Cloud	Min 8 years (Master's Degree) Min 10 years (PhD)